

UNITED STATES OF AMERICA
before the
SECURITIES AND EXCHANGE COMMISSION

SECURITIES EXCHANGE ACT OF 1934
Rel. No. 60483 / August 12, 2009

Admin. Proc. File No. 3-13380

In the Matter of
ALAN BRIAN BAIOCCHI

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NOTICE THAT INITIAL DECISION HAS BECOME FINAL

The time for filing a petition for review of the initial decision in this proceeding has expired. No such petition has been filed by Alan Brian Baiocchi, and the Commission has not chosen to review the decision as to him on its own initiative.

Accordingly, notice is hereby given, pursuant to Rule 360(d) of the Commission's Rules of Practice, 1/ that the initial decision of the administrative law judge 2/ has become the final decision of the Commission with respect to Alan Brian Baiocchi. The order contained in that decision is hereby declared effective. The initial decision ordered that, pursuant to Section 15(b) of the Securities Exchange Act of 1934, Alan Brian Baiocchi is barred from association with any broker or dealer.

For the Commission by the Office of the General Counsel, pursuant to delegated authority.

Elizabeth M. Murphy
Secretary

1/ 17 C.F.R. § 201.360(d).

2/ Alan Brian Baiocchi, Initial Decision Rel. No. 382 (July 14, 2009), ___ SEC Docket ___.